



IFW

I hereby certify that this correspondence is being deposited with the US Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Date: July 28, 2004

By

Kay L. Gaviglio

PATENT
Docket No. GC707-C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

G. Chotani et al.

Serial No. 10/765,652

Filed: January 26, 2004

Group Art Unit: 1651

Examiner: - - -

For: METHODS FOR PRODUCING END-PRODUCTS FROM CARBON SUBSTRATES

Information Disclosure Statement

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information (listed on the attached Form PTO-1449 and attached thereto) of which they are aware, that they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement:

(a) ☐ accompanies the new patent application submitted herewith. 37 CFR §1.97(a).

(b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry into the national stage of a PCT application as set forth in 37 CFR §1.491.

(c) ☒ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits.

(d) ☐ is filed after the first Office Action and more than three months after the

application filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$180.00) set forth in 37 CFR §1.17(p) or a certification as specified in 37 CFR §1.97(e), as checked below. Authorization to charge Deposit Account No. 07-1048 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement is provided in the Transmittal Letter submitted herewith in duplicate.

(e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and is accompanied by authorization (in the Transmittal Letter submitted herewith in duplicate) to charge Deposit Account No. 07-1048 the fee (\$180.00) set forth in 37 CFR §1.17(l)(1) and a certification as specified in 37 CFR §1.97(e), as checked below. **This document is to be considered as a petition requesting consideration of the Supplemental Information Disclosure Statement.**

[If either of boxes (d) or (e) is checked above, the following "certification" under 37 CFR §1.97(e) may need to be completed.] The undersigned certifies that:

☐ Each item of information contained in the Information Disclosure Statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

☐ No item of information contained in this Information Disclosure Statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Those patent(s) or publication(s) which are marked with an asterisk (*) on the attached Form PTO-1449 are not supplied because they were previously cited by or submitted to the Office in a prior application, Serial No. 10/359,771 filed February 6, 2003, and relied upon in this application for an earlier filing date under 35 USC 120.

A concise explanation of relevance of the items listed on PTO-1449 is:

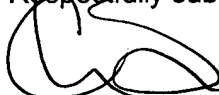
- ☒ not given
- ☐ given for each listed item
- ☐ given for only non-English language listed item(s)
- ☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

The Examiner is reminded that a "concise explanation of the relevance" of the submitted prior art "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention." MPEP §609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR §1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR §1.97(b), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR §1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR §1.98 and MPEP §609 and the Examiner is respectfully requested to consider the listed references.

Respectfully submitted,



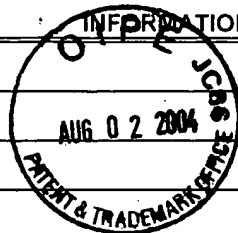
Christopher L. Stone
Registration No. 35,696

Date: July 27, 2004

Genencor International, Inc.
925 Page Mill Road
Palo Alto, CA 94304
Phone (650) 846-7544
Facsimile (650) 845-6501

INFORMATION DISCLOSURE CITATION

Attorney Docket No.: GC707-C1	Serial No.: 10/765,652
Applicant: Chotani et al.	
Filing Date: January 26, 2004	Group: 1651
Page <u>1</u> of <u>2</u>	Date of this Submission: July 28, 2004



US PATENT DOCUMENTS

Examiner's	Document				Sub-	Filing
Initial	Number	Date	Name	Class	Class	Date
	*4,092,434	05/30/78	Yoshizumi et al.			
	*4,514,496	04/30/85	Yoshizumi et al.			
	*4,618,579	10/21/86	Dwiggins et al.			
	*5,000,000	03/19/91	Ingram et al.			
	*5,008,473	04/16/91	Breitkopf et al.			
	*5,028,539	07/02/91	Ingram et al.			
	*5,356,812	10/18/94	Matsuyama et al.			
	*5,424,202	06/13/95	Ingram et al.			
	*5,482,846	01/09/96	Ingram et al.			
	*5,487,989	01/30/95	Fowler et al.			
	*5,514,583	05/07/96	Picataggio et al.			
	*5,554,520	09/10/96	Fowler et al.			
	*5,599,689	02/04/97	Haynie et al.			

FOREIGN PATENT DOCUMENTS

Examiner's	Document				Sub-	Translation
Initials	Number	Date	Country	Class	Class	Yes/No
	*WO 95/13362	05/18/95	PCT			

OTHER DOCUMENTS

Examiner's	
Initials	Author, Title, Date, Pertinent Pages, etc.
	*Hayashida, S., "Selective Submerged Productions of Three Types of Glucoamylases by a Black-koji Mold," <i>Kyushu University, Fukuoka, Japan</i> , 2093-2099, (1975)
	*Saha et al., "Alcoholic Fermentation of Raw Sweet Potato by a Nonconventional Method Using Endomycopsis fibuligera Glycoamylase Preparation," <i>Biotechnology and Bioengineering</i> , Vol. XXV, 1181-1186, (1983)
	*Sandstedt et al., "A standardized Wohlgemuth Procedure for Alpha-Amylase Activity," <i>Cereal Chemistry</i> , 712-723, (1939)
	*Takahashi et al., "Different Behavior towards Raw Starch of Three Forms of Glucoamylase from a Rhizopus Sp.," <i>J. Biochem.</i> , 663-671, (1985)

Examiner	Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not

considered. Include copy of this form with next communication to applicant.
PTO-1449

INFORMATION DISCLOSURE CITATION

Attorney Docket No.: GC707-C1	Serial No.: 10/765,652
Applicant: Chotani et al.	
Filing Date: January 26, 2004	Group: 1651
Page <u>2</u> of <u>2</u>	Date of this Submission: July 28, 2004

US PATENT DOCUMENTS

Examiner's	Document				Sub-	Filing
Initial	Number	Date	Name	Class	Class	Date

FOREIGN PATENT DOCUMENTS

Examiner's	Document				Sub-	Translation
Initials	Number	Date	Country	Class	Class	Yes/No

OTHER DOCUMENTS

Examiner's	
Initials	Author, Title, Date, Pertinent Pages, etc.
	*Bowien et al., "CO ₂ Assimilation in Chemoautotrophs," <i>Microbial Growth on C1 Compounds</i> , 484-485 –Book (not sent)
	*Hunter et al., "Formaldehyde Metabolism by Escherichia Coli. Carbon and Solvent Deuterium Incorporation into Glycerol, 1, 2-Propanediol, and 1, 3-Propanediol," <i>Biochemistry</i> , 4148-4155, (1985)
	*Nakamura, L. K., "Lactobacillus Amylovorus, a New Starch- Hydrolyzing Species from Cattle Waste-Corn Fermentations," <i>Intl. J. of Systematic Bacteriology</i> , 56-63, (1981)
	*Ueda et al., "Alcoholic Fermentation of Raw Starch without Cooking by using Black-koji Amylase," <i>J Ferment Technol.</i> , Vol. 58, No. 3, 237-242, (1980)
	*Ueda et al., "Production of Ethanol from Raw Cassava Starch by a Nonconventional Fermentation Method," <i>Biotechnology and Bioengineering</i> , Vol. XXIII, 291-299, (1981)
	*Xiaodong et al., "Direct Fermentative Production of Lactic Acid on Cassava and Other Starch Substrates," <i>Biotechnology Letters</i> , Vol. 19, No. 9, 841-843, (1997)
	*Yamada, et al., "Production of Glycerol from Methanol by a Mutant Strain of Candida Boidinni," <i>Agric. Biol. Chem.</i> , 541-543, (1989)
	*Yamamoto et al., "Alpha- Amylase of Rhizopus niveus : Its Isolation and Some Enzyme Properies," <i>Denpun Kagaku</i> , Vol. 37, No. 3, 129-136, (1990)

Examiner	Date Considered

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not

considered. Include copy of this form with next communication to applicant.
PTO-1449